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Page 1 of 2

HPW ✓

APPLICATION NUMBER	FILING OR 371 (c) DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/711,128	08/26/2004	Timothy Anderson	ASDC.P001.B

CONFIRMATION NO. 5127

42780  
SUMMERS RUBINSTEIN, PROFESSIONAL CORP  
PATENTS  
BOX 11127  
WASHINGTON, DC 20008

FORMALITIES LETTER



\*OC000000013924038\*

Date Mailed: 09/28/2004

NOTICE TO FILE CORRECTED APPLICATION PAPERS

*Filing Date Granted*

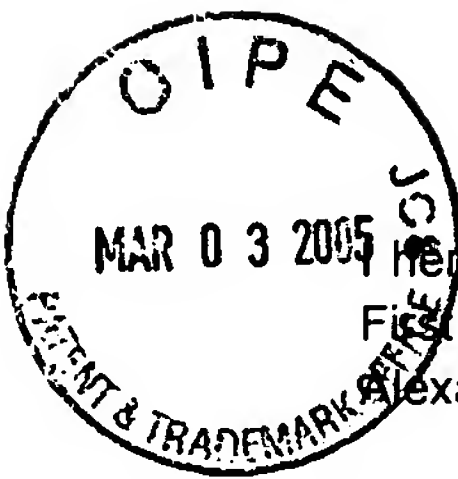
An application number and filing date have been accorded to this application. The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

The required item(s) identified below must be timely submitted to avoid abandonment:

- A substitute specification in compliance with 37 CFR 1.52, 1.121(b)(3), and 1.125, is required. The specification, claims, or abstract page(s) submitted is not acceptable and cannot be scanned or properly stored because:
  - The line spacing on the specification, claims, or abstract is not 1½ or double spaced (see 37 CFR 1.52(b)).
- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121 are required. The drawings submitted are not acceptable because:
  - More than one figure is present and each figure is not labeled "Fig." with a consecutive Arabic numeral (1, 2, etc.) or an Arabic numeral and capital letter in the English alphabet (A, B, etc.)(see 37 CFR 1.84(u)(1)). See Figure(s) 6,12.

Replies should be mailed to: Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

*A copy of this notice **MUST** be returned with the reply.*



I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Mail Stop: Missing Parts, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 28<sup>th</sup> Day of February, 2005:

Date: 02/28/2005

By: [Signature]  
David Bogart Dort

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF: TIMOTHY ANDERSON  
APPLICATION No.: 10/711,104  
FILED: 26 AUGUST 2004

EXAMINER: UNASSIGNED  
ART UNIT: UNASSIGNED  
CONF. No:  
ATTY DOCKET: 3518-3

For: COMPUTER-IMPLEMENTED  
ADAPTIVE MODULUAR RISK MANAGEMENT  
TRADING SYSTEM FOR PROFESSIONAL  
EQUITY TRADERS

**Response to Notice to File Missing  
Parts of Application**

Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

1. In response to the Notice to File Missing Parts mailed (copy enclosed), applicant submits the following:
- ☒ Copy of Notice to File Missing Parts
  - ☒ Transmittal with Certificate of Mailing 37 CFR 1.8 (or 1.10);
  - ☒ Replacement drawings (1 pages);
  - ☒ SAS Verification Postcard for USPTO Stamp;
  - ☒ Substitute Specification with Statement under 37 CFR §1.125
  - ☒ Check #1252 in the amount of \$510 for a three-month extension fee;
  - ☒ Authorization for the Commissioner to charge and any underpayment to deposit account No. 50-3068.

03/04/2005 WASFAW1 00000011 10711128  
01 FC:2253 510.00 OP

2. Authorization for Extensions of Time Under 37 C.F.R. § 1.136 (a)(3)

Applicant petitions for an Extension of Time if necessary for timely filing of this Response. The Commissioner is authorized to treat this or any future reply requiring a Petition for Extension of Time under 37 C.F.R. § 1.136 (a)(3) for its timely submission as incorporating a petition therefor for the appropriate length of time. Please charge all required extension of time fees in this application to Deposit Account No. 50-3068.

3. Fee Calculation and Payment

For:	(Col. 1) No. Filed	(Col. 2) No. Extra	Small Entity			Other Than a Small Entity	
			Rate	Fee		Rate	Fee
Basic Fee				\$	or		\$770.00
Total Claims	- 11	0	x \$ 9 =	\$	or	x \$ 18 =	\$
Independent Claims	- 3	0	x \$43 =	\$0	or	x \$ 86 =	\$
<input type="checkbox"/> Multiple Dependent Claim Presented			+ \$145 =	\$	or	+ \$290 =	\$
Missing Parts Surcharge				\$			\$130.00
*If the difference in Col. 1 is less than zero, enter "0" in Col. 2.			TOTAL	\$0	or	TOTAL	\$

- ☒ Applicant claims small entity status. See 37 C.F.R. § 1.27
- ☒ Enclosed is a check (No. 1252) for \$ 510
- ☒ Please charge any deficiency or credit to Deposit Account No. 50-3068 (Docket No. 3518-3).

Respectfully submitted,  
DORT CLOSE IP LAW GROUP, PLLC

Date: 02/28/2015

  
David Bogart Dort  
Registration No. 50,213

**Correspondence Address:**  
Customer No. 42389

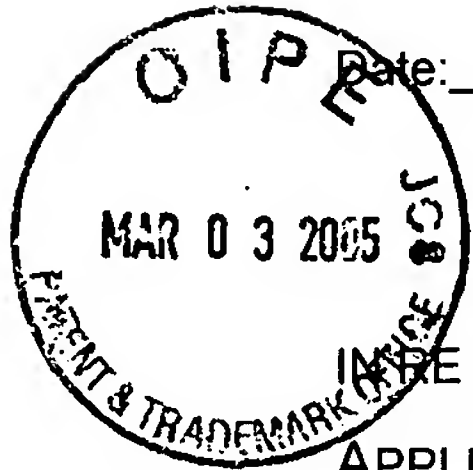
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Date:

02/28/2005

By:

David Bogart Dort



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: TIMOTHY ANDERSON

APPLICATION No.: 10/711,104

FILED: 08/26/04

For: COMPUTER-IMPLEMENTED  
ADAPTIVE MODULUAR RISK MANAGEMENT  
TRADING SYSTEM FOR PROFESSIONAL EQUITY  
TRADERS

EXAMINER: UNASSIGNED

ART UNIT: UNASSIGNED

CONF. NO:

ATTY DOCKET: 3518-3

**Statement That Substitute Specification  
Contains No New Matter (37 C.F.R. § 1.125)**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**1. Identification of person making this statement**

David Bogart Dort  
Customer No. 42389  
Dort Close IP Law Group PLLC  
Box 66148, Washington Sq. St.  
Washington, DC 20035

The person making this statement is: ☒ the attorney in this application,  
Registration No. 50,213

**2. Statement**

I hereby state that the accompanying substitute specification contains no new matter over that contained in the above-identified application originally filed and only corrects grammatical and content errors in the original specification.

Respectfully submitted,  
DORT CLOSE IP LAW GROUP PLLC

Date:

02/28/2005

David Bogart Dort  
Registration No. 50,213

**Correspondence Address:**  
Customer No. 42389